

Dana B. Ferrell

Notice of Intent to Issue Permanent Cease and Desist Order

DATE: August 17, 2001 RESPONDENT: Dana B. Ferrell of Topeka, Kansas ORDER: Notice of Intent to Issue Permanent Cease and Desist Order issued to respondent Dana B. Ferrell of Topeka, Kansas for allegedly selling Mutual Benefits viatical investment contracts. The Order alleges that the viatical settlement contracts are not properly registered under the Kansas Securities Act and that respondent is not properly registered as a broker-dealer or agent.

Permanent Cease and Desist Order

DATE: November 13, 2001 RESPONDENT: Dana B. Ferrell of Topeka, Kansas ORDER: Permanent Cease and Desist Order issued to respondent Dana B. Ferrell of Topeka, Kansas, for allegedly selling Mutual Benefits viatical investment contracts. The Order finds that the viatical settlement contracts are not properly registered under the Kansas Securities Act and that respondent is not properly registered as a broker dealer or agent.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.